| Electronic Acknowledgement Receipt   |   |  |  |  |  |
|--------------------------------------|---|--|--|--|--|
| EFS ID:                              | 5071873   |  |  |  |  |
| Application Number:                  | 10627626  |  |  |  |  |
| International Application Number:    |   |  |  |  |  |
| Confirmation Number:                 | 4309  |  |  |  |  |
| Title of Invention:                  | Method and apparatus for enabling individual or smaller investors or others<br>to create and manage a portfolio of securities or other assets or liabilities on a<br>cost effective basis |  |  |  |  |
| First Named Inventor/Applicant Name: | Steven M.H. Wallman   |  |  |  |  |
| Correspondence Address:              | Bradley J. Meier  KENYON & KENYON  Suite #700  1500 K Street, N.W.  Washington DC 20005  US 2022204200  -   |  |  |  |  |
| Filer:                               | Shawn W. Odowd  |  |  |  |  |
| Filer Authorized By:                 |   |  |  |  |  |
| Attorney Docket Number:              | 10392/460043  |  |  |  |  |
| Receipt Date:                        | 31-MAR-2009   |  |  |  |  |
| Filing Date:                         | 28-JUL-2003   |  |  |  |  |
| Time Stamp:                          | 18:21:35  |  |  |  |  |
| Application Type:                    | Utility under 35 USC 111(a)   |  |  |  |  |
| Payment information:                 |   |  |  |  |  |

# Payment information:

| Submitted with Payment | no |
|------------------------|----|
| File Listing:          |    |

| Document<br>Number                                   | Document Description     | File Name                                    | File Size(Bytes)/<br>Message Digest          | Multi<br>Part /.zip | Pages<br>(if appl.) |
|--|--------------------------|--|--|---------------------|---------------------|
| 1 NPL Documents                                      | NPI Documents            | Dibbenarticle 1994.pdf                       | 150622                                       | no                  | 3                   |
|  | Dibberial ficie 1994.pui | 7da151d5b0809981644d813d29b6be5342<br>c37d66 | 110  |                     |                     |
| Warnings:  |                          |  |  |                     |                     |
| Information:   |                          |  |  |                     |                     |
| 2 NPL Documents                                      | Penderarticle 1986.pdf   | 134788                                       | no   | 2                   |                     |
| 2  | 2 NFL Documents          | r enderarticie i 900.pui                     | 8b24d1f14dd7e0d17030626ea549f9e5266<br>1480e | 110                 | <b>~</b>            |
| Warnings:  |                          |  |  |                     |                     |
| Information:   |                          |  |  |                     |                     |
| 3 NPL Documents                                      | Perhamarticle 1953.pdf   | 125313                                       | no   | 1                   |                     |
|  |                          | 9cffcaae195f5e2cd1ba75d0d1195766f5004<br>1a6 |  |                     |                     |
| Warnings:  |                          |  |  |                     |                     |
| Information:   |                          |  |  |                     |                     |
| Information Disclosure Statement (IDS) Filed (SB/08) | 1449-03.pdf              | 667827                                       | no   | 5                   |                     |
|  | Filed (SB/08)            |  | 2e4caa39b109c7c4aa4311ef4f3924b07fce<br>ddc9 |                     |                     |
| Warnings:  | ·                        |  |  |                     |                     |
| Information:   |                          |  |  |                     |                     |

#### Information:

A U.S. Patent Number Citation is required in the Information Disclosure Statement (IDS) form. You may remove the form to add the required data in order to correct the Informational Message or if you chose not to, the image of the form will be processed and be made available within the Image File Wrapper (IFW) system. However, no data will be extracted from this form. Any additional data such as Foreign Patent Documents or Non Patent Literature will be manually reviewed and keyed into USPTO systems.

## Total Files Size (in bytes):

1078550

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

## New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

# New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.